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By:

Dockerno. GC3962

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Brian S. Miller et al.

Serial No.: 09/262,126

Filed: March 3, 1999

For: Modified Forms of Pullulanase

Caroup Art Unit: 1652

Examiner: Rao, M

Description: 1652

Examiner: Rao, M

Description: 1652

Examiner: Rao, M

Description: 1652

TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION

BOX SEQUENCE Assistant Director for Patents Washington, D.C. 20231

March 20, 2001

Sir:

In complete response to the Notice to Comply with Requirements for Patent Applications containing Nucleotide Sequence and/or amino Acid Sequence disclosures dated February 27, 2001.

- [X] Preliminary Amendment
- [X] Statement of Sameness
- [X] Paper copy of Sequence Listing (9 pages)
- [X] Diskette copy of Sequence Listing
- [X] Form PTO-1533 (copy of Notice to be returned with response); and

The Director is hereby authorized to charge any fees under 37 C.F.R. §§ 1.16, 1.17, and 1.21 that may be required by this paper, and to credit any

US Serial No. 09/262,126 Page 2

overpayment, to Deposit Account No. 07-1048 (Docket No. GC396-2). A duplicate of this paper is enclosed.

Respectfully submitted,

Date: March 20, 2001

Richard T. Ite

Registration No. 32,242

Genencor International, Inc. 925 Page Mill Road Palo Alto, CA 94304-1013

Tel: (650) 846-4020 Fax: (650) 845-6504

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Application No.: <u>09/262,126</u>

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 C.F.R. 1.821 - 1.825 for the following reason(s):

	 This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to these regulations, published at 1114 OG 29, May 15, 1990 and at 55 FR 18230, May 1, 1990.
	2. This application does not contain, as a separate part of the disclosure on paper copy, a "Sequence Listing" as required by 37 C.F.R. 1.821(c).
	3. A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e).
X	4. A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 C.F.R. 1.822 and/or 1.823, as indicated on the attached copy of the marked -up "Raw Sequence Listing."
	5. The computer readable form that has been filed with this application has been found to be damaged and/or unreadable as indicated on the attached CRF Diskette Problem Report. A Substitute computer readable form must be submitted as required by 37 C.F.R. 1.825(d).
	6. The paper copy of the "Sequence Listing" is not the same as the computer readable from of the "Sequence Listing" as required by 37 C.F.R. 1.821(e).
	7. Other: The specification must be amended to include SEQ ID NOS, where applicable.
Ap	plicant Must Provide:
X	An initial or substitute computer readable form (CRF) copy of the "Sequence Listing".
	An <u>initial or substitute paper copy of the "Sequence Listing"</u> , as well as an amendment directing its entry into the specification.
X	A statement that the content of the paper and computer readable copies are the same and, where applicable, include no new matter, as required by 37 C.F.R. 1.821(e) or 1.821(f) or 1.821(g) or 1.825(b) or 1.825(d).
	and the compliance to these requirements, please contact.

For questions regarding compliance to these requirements, please contact:

For Rules Interpretation, call (703) 308-4216

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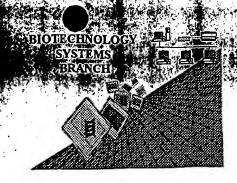
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RAW SEOUENCE LISTING

Date Processed by STIC:



The Biotechnology Systems Branch of the Scientific and Technical Information Center (STIC) detected errors when processing the following computer readable form:

form:
Application Serial Number: 09/262,/26B

Source: /600 RUSH

7/22/200/_

THE ATTACHED PRINTOUT EXPLAINS DETECTED ERRORS. PLEASE FORWARD THIS INFORMATION TO THE APPLICANT BY EITHER:

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FOR CRF SUBMISSION QUESTIONS, PLEASE CONTACT MARK SPENCER, 703-308-4212.

FOR SEQUENCE RULES INTERPRETATION, PLEASE CONTACT ROBERT WAX, 703-308-4216. PATENTIN 2.1 e-mail help: patin21help@uspto.gov or phone 703-306-4119 (R. Wax) PATENTIN 3.0 e-mail help: patin3help@uspto.gov or phone 703-306-4119 (R. Wax)

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RAW SEQUENCE LISTING

PATENT APPLICATION: US/09/262,126B

1600

pp1-2,5 Input Set : A:\GC396-2 seq.txt Output Set: N:\CRF3\02222001\1262126B.raw **Does Not Comply** 3 <110> APPLICANT: Miller, Brian S. Corrected Diskette Needec Shetty, Jayarama K. same en pullulariase

09/262,1268
3-03

vs Version 3.0

C, or G

tattitique etgetggtga ttateaacet ggtggggetg aataegattt caateaaceq gatattecag gaaaceaag teaggtagga 180 42217, 42227, gatgtgageg etgacegeta catagattta 240 ggaaacagec aaattttta taatgaaaaa 300 6 <120> TITLE OF INVENTION: Modified Forms of Pullulariase 9 <130> FILE REFERENCE: GC396-2 11 <140> CURRENT APPLICATION NUMBER: 09/262,126B 12 <141> CURRENT FILING DATE: 1999-03-03 14 <160> NUMBER OF SEQ ID NOS: 9 16 <170> SOFTWARE: FastSEQ for Windows Version 3.0 18 <210> SEO ID NO: 1 19 <211> LENGTH: 2794 20 <212> TYPE: DNA 21 <213> ORGANISM: B. deramificans 23 <221> NAME/KEY: misc_feature 24 <222> LOCATION: (1)...(2794) 25 <223> OTHER INFORMATION: n = A, T, C, or G 27 <400> SEQUENCE: 1 gatgggaaca cqacaacgat cattgtccac tatttttocc cugctggtga ttatcaacct tggagtctat ggatgtggcc aaaagacgga ggtggggctg aatacgattt caatcaaccg getgactett ttggagetgt tgeaagtget gatatteeag gaaacceaag teaggtagga attatogito goactoaaga tiggaccaaa gaigtgagog cigacogota catagatita N 62237 1s shown. agcaaaggaa atgaggtgtg gcttgtagaa ggaaacagcc aaatitttta taatgaaaaa 300 360 gatgotgagg atgoagetaa accegotgta agcaacgott atttagatge ttoamaclag 34 gtgctggtta aacttagcca gccgttaact cttggggaag gnnnaagcgg ctttacggtt 420 35 catgacgaca cagcaaataa ggatatteca gtgacatetg tgaaggatge aagtettggt 480 36 caagatgtaa cogotgtttt ggcaggtaco ttocaacata tttttggagg ttocgattgg 37 goacetgata ateacagtae titattaaaa aaggigaeta acaateteta teaatietea 38 ggagatette etgaaggaaa etaccaatat aaagtggett taaatgatag etggaataat 660 39 cogagitace catolgacaa cattaattia acagicootg coggoggige acaegicaci 720 40 tittogtata ticogicoac toatgoagio taitgacacaa tiaataatoo taatgoggat 780 41 ttacaagtag aaagcggggt taaaacggat ctcgtgacgg ttactctagg ggaagatcca 840 42 900 gatgtgagec atactetgte catteaaaca gatggetate aggeaaagea ggtgataeet 43 egtaatgtge ttaatteate acagtactae tatteaggag atgatettgg gaatacetat 960 44 acacagaaag caacaacctt taaagtotgg gcaccaactt ctactcaags aaatgttott 1029 45 ctttatgáca gtgcaacgg; ttctgtaaca aaaatcgtac ctatgacggc atcgggccat 46. ggtgtytggg aagcaacggt taatcaaaac cttgaaaatt ggtattacat gtatgaggta 1140 47 acaggecaag getetaeeeg aacggetgtt gateettatg caactgegat tgeaceaaat 1200 48 ggaacgayag gcatgattgt ggacctggct aaaacagatc ctgctggctg gaacagtgat 1260 aaacatatta cgccaaagaa tatagaagat gaggtcatct atgaaatgga tgtccgtgac 1320 ttttccattg accetaattc gggtatgaaa aataaaggga agtatttggc tcttacagaa 1.380 aaaggaacaa agggccctga caacgtaaag acggggatag attccttaaa acaacttggg 1440 attactcatg ttcagettat geetgtttte geatetaaca gtgtegatga aactgateca 1500 acceaagata attggggtta tgaccetege aactatgatg tteetgaagg geagtatget 1560 acaaatgega atggtaatgo kegtataaaa gagtttaagg aaatggttet tteacteeat 1620 cgtgaacaca ttggggttaa catggatgtt gtctataatc atacctttgc cacgcaaatc 1680 totgacticg ataaaattgt accagaatat tattaccgta cgatgatcca ggtaattata 1740 ccaacggatc aggtactgga aatgaaattg cangengaaa ggccaatggt tcaaaaattt 1800 attattgatt coottaagta tigggicaat gagtatcata tigacggott cogtittigac 1860

DATE: 02/23/2001

TIME: 12:09:01

RAW SEQUENCE LISTING DATE: 02/22/2001
PATENT APPLICATION: US/09/262,126B TIME: 12:09:01

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Output Set: N:\CRF3\02222001\I262126B.raw

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60 aatooaggaa Etgoacttta oggtgagoda Eggaogggtg gaacototgo abtgonagat
61 gateagette tgacaaaagg ageteaaaaa ggeatgggag tageggtgtt taatgacaat
62 tracgaaacg egitggaegg caatgtottt gattottoog ordaaggtit igegspaggi
63 gcaacaggot taactgatgo aattaagaat ggogttgagg ggagtattaa tgactttaco
    trificaceag gigagacaat taactatgic acaagicaty asaactacar inclinggar
65
    aaaatagoon taagcaatoo taatgattoo gaagoggato ggartaaaast jaatgaacto
    goachageag thightangae creacaagge gitteeattea tgeaaggegg gjesgaaatg
    cttegtanaa aaggeggeaa egacaatagt tataatycag yegatgeggt caatgagttt
   gattygagea ggaaagetea atateeagat gtthteaact attatagegg getaiteeae
69 officiently atcaccoage officigoaty acgaeagota argaeatesa tagecacete
70 caattootaa atagtooaga gaacacagtg gootatgaat taactgatca tgttaataaa
71 gacaaatggg gaaatatcat tgttgtttat aacccaaata aaactgtagc aaccatcaat
  ttgccgagcg gyaaatgggc aatcaatgct acgageggta aggtaggaga alccaecett
3 ggreaageag agggaagtgt ceaagtacea ggtatateta Egatgateet teatenagag
74 gtaagcecag accaeggtaa aaagtaatag aaaa
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77 <211> LENGTH: (958
78 <212> TYPE: PRI
79 <213> ORGANISM: B. deramificans
81 <220> FEATURE:
82 <221> NAME/KEY: VARIANT
83 <222> LOCATION: (1)...(956)
34 <223> OTHER INFORMATION: Xaa = Any Amino Acid
86 <220> FEATURE:
87 <221> NAME/KEY: VARIANT
88 <222> LOCATION: (957)...(957)
89 <223> OTHER INFORMATION: (Xãa = gap of indeterminate length
31 <400> SEQUENCE: 2
92 Met Ala Lys Lys Leu Ile Tyr Val Cys Leu Ser Val Cys Leu Val Leu
93
                                        10
94
    Thr Trp Ala Phe Asn Val Lys Gly Gln Ser Ala His Ala Asp Gly Asn
95
96
    Thr Thr Thr Ile Ile Val His Tyr Phe Cys Pro Ala Gly Asp Tyr Gln
97
98
    Pro Trp Ser Leu Trp Met Trp Pro Lys Asp Gly Gly Gly Ala Glu Tyr
99
                            55
100
    Asp Phe Asn Gln Pro Ala Asp Ser Phe Gly Ala Val Ala Ser Ala Asp
101
                                             75
102
     Ile Pro Gly Asn Pro Ser Gln Val Gly Ile Ile Val Arg Thr Gln Asp
103
     Trp Thr Lys Asp Val Ser Ala Asp Arg Tyr Ile Asp Leu Ser Lys Gly
105
                 100
                                     105
106
     Ash Glu Val Trp Leu Val Glu Gly Ash Ser Gln 11e Phe Tyr Ash Glu
107
                                120
                                                     125
108
     Lys Asp Ala Glu Asp Ala Ala Lys Pro Ala Val Ser Asn Ala Tir Leu
109
                            135
                                                 140
110
    Asp Ala Ser Asn Gln Val Leu Val Lys Leu Ser Gln Pro Leu Thr Leu
111
```

Xaa can only represent a single ameno acid. For 1.822(d)(5)(e) of ren Seguera Rulis, "A seguerce with a gap or gaps sholl be presented as a plurality of separate sequerous. However, since only one anno acid follows gap, and at least four anend acids are needed for a sequence delete last and

1920

1.980

2040

2520

2530

2640

2700

2760

2794

see p. 5

RAW SEQUENCE LISTING DATE: 02/22/2001 PATENT APPLICATION: US/09/262,126B TIME: 12:09:01

Input Set : A:\GC396-2 seq.txt
Output Set: N:\CRF3\02222001\1262126B.raw

W>	112 113	Gly	Clu	Gly	Xaa	Ser	Cly	Phe	Thr	Val	Hi.s 170	Asp	Asp	Thr	Ala	Asn 175	Lys
	114 115	Авр	Ile	Pro	Val 180		Ser	Val	Lys	Asp 135	Ala	Ser	Leu	Gly	Gln 190	Asp	Val
•	116 117	Thr	Ala	Val 195	Leu	Ala	Gly	Thr	Phe 200		His	lie	Phe	Gly 205	Gly	Ser	Asp
	118 119	Trp	Ala 210	Pr.	Asp	Asn	His	Ser 215	The	Leu	Leu	Lys	Lys 220	Val	Thr	Asn	Asn
	120 121	225		Gln			230	_				235	•	_		_	240
	122 123			Leu		245					250					255	
	124 125			Thr	260			_	_	265					270		
	126 127			Thr 275					280					285			
	128 129		290	Val				295	_		-		300				
	130 131	305		Asp			310					315					320
	132 133			Ala	•	325					330					335	
	134 135			Tyr	340					345					350		
	136 137 138			Pha 355	_	•	_		360					365			
	139 140		370	Asp Gly				375					380				
	141 142	385		Tvr		-	390	-				395					400
	143		•	Asp	-	405	•				410		-			415	
	145 146			Val	420	_				425				_	430	_	_
	147 148			435 Ile					440					445			
	149 150	_	450	Arg			_	455			_		460		_		
	151 152	465		Tyr			470					475					480
	153 154			Thr		485					490					495	
	155 156			Met	500					505					510		
	157 158			515					520				_	525		_	Glu
	159		530				~ <u>-</u>	535			··- 1		540				

160 Gly Gln Tyr Ala Thr Asn Ala Asn Gly Asn Ala Arg Ile Lys Glu Phe

RAW SEQUENCE LISTING PATENT APPLICATION: US/09/262,126B DATE: 02/22/2091 TIME: 12:09:01

Input Set : A:\GC396-2 seq.txt
Output Set: N:\CRF3\02222001\1262126B.raw

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	161	54.5				_	550					555					560
	162	Lys	G±u	Met	Val		Ser	Leu	His	Arg	Glu	His	He	Gly	Vai		Иеt
	163					565					570					575	
	164	Asp	Val	Val	•	Asn	His	Thi	Phe		Thr	Gln	Tle	Ser	-	Phe	Asp
	165				580					585					590		
	166	Lys	Ile		Pro	Glu	Ţķr	Tyr		Arg	Thr	Met	Ile		Val	Ile	Ile
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M>	168	Pro	Thr	Asp	Gln	Val	Leu	Glu	Met	Lys	Leu	Xaa	Ala	Glu	Arg	Pro	Met
	169		610					615					620				
	170		Gln	ľàz	Pha	Ile	He	Asp	Ser	Leu	Lys	Туг	Trp	Val	Asn	Glu	Tyr
	171	625					630				,	635					640
	172	His	Ile	Asp	Gly	Phe	Arg	Phe	Asp	Leu	Met.	Ala	Leu	Leu	Gly	Lys	Asp
	173					645					650					655	
	174	Thr	Иet	Ser	Lys	Ala	Ala	Ser	Glu	Leu	His	Ala	Ile	Asn	Pro	Gly	lle
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	176	Ala	Leu	Tyr	Gly	Glu	Pro	Trp	Thr	Gly	Cly	Thr	Ser	Ala	Lou	Pro	Asp
	177			675					680					685			
	178	Asp	Gln	Len	Leu	Thr	Lys	Gly	Ala	Gln	Lys	Gly	Met	Gly	Val.	Ala	Val
	179		690					695					700				
	180	Phe	Asn	Asp	Asn	Leu	Arg	Asn	Ala	Leu	Asp	Gly	Asn	Val	Phe	Asp	Ser
	181	705					710					715					720
	132	Ser	Ala	Gln	Gly	Phe	Ala	Thi	Gly	Ala	Thr	Gly	Leu	Thr	Asp	Ala	Ile
	183					725					730					735	
	1.84	Lys	Asn	Gly	Val	Glu	Gly	Ser	Ile	Asn	Asρ	Phe	Thr	Ser	Ser	Pro	Gly
	185				740					745					750		
	186	Glu	Thr	Ile	Asn	Tyr	Vai	Thr	Ser	His	Asp	Asn	Tyr	Thr	Leu	Trp	Asp
	137			755					760					765			
	188	Lys	Ile	Ala	Leu	Ser	Asn	Pro	Asn	Asp	Ser	Glu	Ala	Asp	Arg	Ile	Lys
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	191	785					790					795					800
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	195				820					825					830		
	196	Lys	Ala	Gln	Tyn	Pro	Asp	Val	Phe	Asn	Tyr	Tyr	Ser	Gly	Leu	Ile	His
	197			835					840					845			
	198	Leu	Arg	Leu	Asp	His	Pro	Ala	Phe	Arg	Met	Thr	Thr	Ala	Asn	Glu	Ile
	199		850					855					860				
	200	Asn	Ser	His	Leu	Gln	Phe	Leu	Asn	Ser	Pro	Glu	Asn	Thr	Val	Ala	Tyr
	201	865					870					875					880
	202	$G_{I}^{*}u$	Leu	Thr	Asp	His	Val	Asn	Lys	Asp	Lys	Trp	Gly	Asn	Ile	Lle	Va i.
	203					885					890					895	
	204	Vāl	Tyr	Asn	Pro	Asn	Lys	Thr	Val	Ala	Thr	Ile	Asn	Leu	Pro	Ser	Gly
	205				900					905					910		
	206	Lys	Trp	Ala	Ile	Asn	Ala	Thr	Ser	Gly	Lys	Val	Gly	Glu	Ser	Thr	Leu
	207			915					920					925			
	208	\mathtt{Gl}_{Y}	Gln	Ala	Glu	Gly	Ser	Val	Gin	Val	Pro	Gly	Ile	Ser	Met	Иеt	Ilψ
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RAW SEQUENCE LISTING DATE: 02/22/2001 PATENT APPLICATION: US/09/262,126B TIME: 12:09:01

Input Set : A:\GC396-2 seq.txt

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) (elet
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	221	Lle	He	Thr		L∌u	Ile	Pro	Ala		Gln	Lys	Glu	Ile		Thr	Pro
	222	D	m.1		20	01	1s	C 1	T 1 +	25 Th		Db	D	T	30	171	t
	223 224	Pro	Phe	arg	Leu	Glu	rnr	Gill	11e 40	ınr	Asp	Phe	Pro	Leu 45	Ala	var	Arg
	225	Glu	Glu		San	Leu	Glu	Δla		Thirtie	Lwe	ጥህን	Val		Va l	Ser	Aen
	226	GIU	50	171	Ser	ьец	CIU	55	n; 5	- 1 1		171	60	Cys	•	JUL	нар
	227	His	Pro	Val	Thr	Phe	Gly	Lys	He	His	Cys	Val	Arg	Ala	Ser	Ser	Gly
	228	65					70	-			-	75	•				80_
	229 230	His	Lys	Thr	Asp	Leu 85	Gln	Tle	Gly	Ala	Val 90	Ile	Arg	Thr	Ala	Ala 95	Phe
	23.1.	Asp	Asp	Glu	Phe	Tyr	Tyr	Asp	Gly	Ġlu	Leu	Gly	Ala	Val	Tyr	Thr	Ala
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	238	145					150			_		155	_				160
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	241	Thr	Val	λen	Gln	Tyr	Δla	Luc	Δla	Val		Va l	Δen	Gly	Glu		Glv
	242	1 111	Val	nap	180	171	nia	БYЗ	ara	185	1111	Vai	ASII	GIY	190	шуз	GLY
	243	Val	Val	Leu		Pro	Asp	Gln	Met		Trp	Thr	Ala	Pro		Lys	Pro
	244			195	_		•		200	-	•			205		-	
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	247		Ser	Ile	His	Glu		Ser	Gly	Met	Ile		Lys	Gly	Lys	Tyr	
	248	225	_	,			230					235		_			240
	249 250	Alā	Leu	Thr	GLu	Thr 245	Asp	Thr	GIn	Thr	A1a 250	Asn	GIĀ	Ser	Ser	Ser 255	GIÀ
	251	Leu	Ala	Tyr		Lys	Glu	Leu	Gly		Thr	His	Val	Glu		Leu	Pro
	252				260					265					270		
	253 254	Val	Asn	Asp 275	Phe	Ala	G1y	Val	Asp 280	Glu	Glu	Lys	Pro	Leu 285	Asp	Ala	Tyr
		\ an	Mark to		п.,,,,	3 co	Dec	T OU		2ha	Dho	λla	Dro		C111	Car	Tur
	255 256	HSH	290	OTÄ	TYT	Asn	P1.0	295	nis	rne	FIIG	HIG	300	GIU	GLY	361	TAT
	257	Δla		Arn	Dro	His	Aen		G15	Thr	Ara	Luc		Gla	Len	1 17 9	Glo
	258	305	Ser	USII	-10	1172	310	F 1 O	لنبذف	* 117	nr 9	315	1111	σıu	Leu	LIS	320
	259		110	Aen	The	Leu	•	Gla	Hie	Gly	Leu		Val	T] (2	Leu	Asp	
	260	••••	110	. 1.011	1111	325		OIII		013	330	9	741	110	cu	335	

VERIFICATION SUMMARY

PATENT APPLICATION: US/09/262,126B

DATE: 02/22/2001 TIME: 12:09:02

Input Set : A:\GC396-2 seq.txt

Output Set: N:\CRF3\02222001\I262126B.raw

L:34 M:358 W: Mandatory Feature missing, <220> not found for SEQ ID#:1 L:34 M:346 W: (46) "n" or "Xaa" used: Peature required, for SEQ ID#:1 L:57 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:1 M:340 Repeated in SeqNo=1 L:67 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:1 L:67 M:258 W: Mandatory Feature missing, <220> not found for SEQ ID#:1 L:112 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 L:168 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 L:192 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2 L:210 M:341 W: (46) "n" or "Xaa" used, for SEQ ID#:2